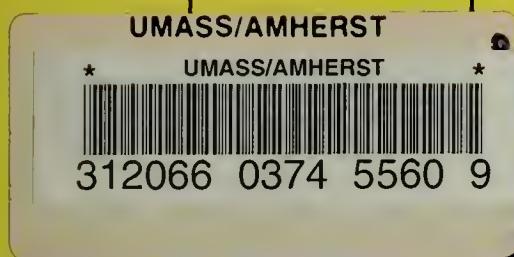


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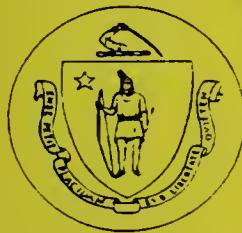
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## Grants for Schools: Getting Them and Using Them

### A Procedural Manual



April 1995

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# The Commonwealth of Massachusetts

## Department of Education

350 Main Street, Malden, Massachusetts 02148-5023 • (617) 388-3300

Robert V. Antonucci  
Commissioner

April, 1995

Dear Colleagues:

I am pleased to send you a copy of Grants for Schools: Getting Them and Using Them, A Procedural Manual, which has been designed as a companion piece to the Unified Request for Proposals. Its purpose is to explain how the Department of Education makes grants available, how to complete the application forms, how grants are awarded, and how to manage grants. Although laws, regulations, and policies are cited in some instances, the manual is not intended to be a legal or regulatory handbook. Rather, it is a guide to the standard procedures the Department has developed in order to comply, and help grant recipients comply, with administrative requirements for the use of public funds and with accepted accounting practices. In addition, the Appendix contains copies of all the standard forms, from application through final financial report, that are used in the grant process.

I hope that you will find the manual a useful source of information and a helpful guide to accessing and managing grant funds.

Sincerely,

*Robert V. Antonucci*

Robert V. Antonucci  
Commissioner of Education



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## HOW GRANTS ARE MADE AVAILABLE

### The Unified Request for Proposals Process

The Department of Education notifies all Local Education Agencies (LEAs) about the availability of grants through the Unified Request for Proposals (RFP). Introduced for fiscal year 1995 grants, the unified RFP represents a simplified and coordinated process for the solicitation and submission of grant applications. As regulations at both the federal and state levels evolve, the Department is committed to developing an increasingly consolidated model, tying in closely with recommendations under Education Reform, Goals 2000, Title XIV of IASA, and the Reauthorization of ESEA. Thus the process is a dynamic one, with a continuing goal of improving coordination at the local school district level and reducing the amount of paperwork needed to access grants.

### Components of the Unified RFP

The unified RFP is made up of a number of components, including

- an introductory section and table of contents;
- a summary of the amount available for each grant program;
- information regarding the amount of funds available to each LEA for entitlement, allocation, continuation, other non-competitive, and competitive grants;
- a series of program descriptor sheets in standard format, containing information on purpose, priorities, eligibility, funding, fund use, project duration, and contact person(s);
- application materials;
- information on training or technical assistance sessions, grant submission, and proposal review;
- copies of the rating forms, if any, to be used in the reviewing the grants.

## Kinds of Grants Available

The kinds of grants available from the Department are entitlement, allocation, continuation, other non-competitive, and competitive.

**Entitlement** grants are those that must be awarded to recipients on the basis of formulas set forth in laws or regulations. Recipients are entitled to receive their funds if they comply with the programmatic requirements outlined in the RFP.

**Allocation** grants are awarded to recipients based on formulas developed to promote Department priorities. Again, the programmatic requirements outlined in the RFP must be met before the grant will be awarded.

**Continuation** grants are those in which the recipients of grants in one year are awarded funds at the same level for the following year. These are grants that were initially competitive and are funded for multiple years on a continuation basis.

**Other Non-Competitive** grants are those awarded on a first come, first served basis or to a limited number of recipients based on certain eligibility criteria or on a continuation basis to the same communities but at a higher level of support.

**Competitive** grants are those that are open to applicants that meet eligibility criteria listed in the RFP. Reading teams and rating sheets are used in the review process to ensure a fair and open competition among eligible applicants.

For the purpose of the unified RFP, entitlement, allocation, continuation, and other non-competitive grants are treated in a similar manner in that the amount of funds for which each eligible LEA may apply is known either at the time the RFP is issued or soon thereafter. In addition, these grants do not require Board of Education approval since the recipients and amounts have already been determined. Competitive grant proposals, on the other hand, are subject to objective assessments of their relative merits, and those recommended must be presented to the Commissioner and Board of Education for approval.

## Components of the Grant Application

The grant application consists of a number of components. All grant applications must contain at a minimum Part I, the General Descriptor Information section, and Part II, the Budgetary Information section (see Appendix A). The information in these two sections is required by law or regulation for all grants.

Part III, the Statistical Information section, is required for a small number of programs. Its purpose is to collect quantitative information needed to comply with laws and regulations.

Part IV, the Program Information (narrative) section, is needed for all competitive grants to provide sufficient programmatic detail on which to base funding decisions. In addition, many entitlement, allocation, and continuation grants must provide program information as a prerequisite for funding.

Applications may also include one of the following standard forms:

- Schedule A (Consolidated Assignment Schedule) for entitlement and allocation grants -- This form is the mechanism used to allow either a number of small communities to pool their resources to operate a program in a more cost effective manner or any number of LEAs to assign funds to another LEA or a collaborative to operate a special program (see Appendix B).
- Schedule B (Cost Sharing or Matching Schedule) for grants that have a cost sharing or matching requirement -- This form is used to document the local matching contributions (see Appendix C).
- Schedule C (Statement of Participation and Support) for competitive grant applications -- This form may be used to record the commitment of multiple LEAs or organizations to pursue a coordinated project outlined in the grant narrative (see Appendix D).

## HOW TO COMPLETE THE GRANT APPLICATION

The unified RFP contains all the materials and instructions needed to complete applications for Department of Education program grants. These instructions should be used in preparing applications for submission. What follow are additional guidelines for completing Parts I and II, the General Descriptor Information and Budgetary Information sections. These guidelines represent a synopsis of some of the technical information Grants Management staff traditionally provide at workshops or training sessions.

### Guidelines for the General Descriptor Section (Part I)

- Part I, A -- The applicant name and address should be the **official** name and address of the entity which will be receiving the funds. The applicant should be a legal grant recipient with a vendor code. Names of individuals and particular schools or ad hoc organizations within towns should not appear in this section.
- Part I, D -- This should be completed using the number that appears on the RFP. The first part of the number refers to the fiscal year and the second part to the fund source code.
- Part I, F -- It is important that the type of project be indicated. If the application is a consolidated one, Schedule A should be completed, signed, and attached (see Appendix B). If two or more districts are pooling their entitlement funds, the district or collaborative that will be fiscally responsible for administering those funds should submit the grant and be listed as the applicant on Part I, A and on Schedule A, line 2. The superintendents from the contributing school districts need only sign Schedule A, Section 4 and indicate the amount of their contributions.
- Part I, G -- The allowable grant period is specified in the RFP. Note that competitive grants may not begin before the date of Board approval (or, in certain cases, before the Commissioner's approval). State funded grants must end by June 30 of the grant year. Grants funded with federal money may not begin before September 1 of the grant year and must end by August 31.

- Part I, I -- The brief description section must be completed, using only the space available, since this page is sent to the Comptroller's office. Writing "see attached" or continuing the brief description on additional pages is not acceptable. If necessary, the opportunity to describe the project in greater detail is provided in Section IV (Program Information) of the application.
- Part I, J -- The superintendent, assistant superintendent, director, executive director, or other administrator authorized to submit the Master Agreement (Statement of Assurances) to the Department and receive grants must sign. Ordinarily teachers, specialists, or principals do not have such authorization. The original grant, with the original signature, must be submitted to the Department since the Comptroller's office requires a cover sheet with original signature.

#### Guidelines for the Budgetary Information Section (Part III)

- Part II, line 1 -- Those listed here should have supervisory responsibilities. The number of staff and FTE columns should be completed. Note that number of staff can only be expressed in whole numbers while FTEs (full time equivalents) can be decimals or fractions. The figure used for the FTE should represent the percentage of the salary (or salaries) the grant is supporting. For federally funded grants only, if the administrator(s) paid with grant funds is a member of MTRS, the MTRS box must be checked.
- Part II, line 2 -- Those listed on this line should be professional staff who are certified or licensed to provide either instructional or direct services to students. Examples of titles appropriate for this line are teachers, specialists, counselors, social workers, therapists, psychologists, and nurses. One subline should be used for each title. For example, if 4 teachers are being hired under the grant, the title "teacher" should appear on one subline only with the column to the right registering the number of teachers as 4 and the FTE column reflecting the cumulative FTEs of those 4 teachers. The same instructions regarding number of staff, FTE, and MTRS as were outlined for line 1 above apply to this line.
- Part II, line 3 -- Those listed in this line are generally paraprofessional, clerical, or non-professional staff who provide either non-instructional services or

support services. Examples of titles appropriate for this line are aide, tutor, administrative assistant, bookkeeper, secretary, bus driver, bus monitor, and custodian. Note that while aides may provide instructional services, they may do so only when they are supporting the work of a teacher and are under the direct supervision of that individual in the classroom. The same instructions regarding number of staff, FTE, and MTRS as were outlined for line 1 above apply to this budget line as well.

- Part II, line 4 -- Fringe benefits should be listed in this section. Such items as health insurance, life insurance, county retirement program, and unemployment insurance, etc., are all appropriate. Note that overtime and longevity pay are not fringe benefits (they belong with the related salary item). For federal grants only, on the MTRS subline a budgeted amount equal to 9% of the salaries of those checked on lines 1, 2, or 3 as members of MTRS must be listed (see Appendix J).
- Part II, line 5 -- Rates per hour or day should be listed along with a brief description of the services. Note that staff hired on an hourly basis without benefits would normally appear on this line along with training consultants, evaluation consultants, auditors, and substitutes. Stipends paid to regular salaried staff for activities outside their contracted working hours would also be listed here (unless the recipient agency has a policy of paying overtime for such activities).
- Part II, line 6 -- Reimbursable travel related to the purposes of the grant such as mileage, airfare, lodging, meals, and conference registration fees should be included here and must be broken out as instate and out-of-state travel. By signing a grant which has described and budgeted funds for out-of-state travel, the approving authority is giving prior authorization for that specified expenditure. No further authorization from the Department is required.
- Part II, line 7 -- Items costing less than \$5,000 per unit or having a useful life of less than a year should be listed here. The dollar amounts must be broken out as instructional and/or non-instructional in the appropriate sublines. Subject to limitations outlined in RFPs, supplies can include books, paper, art supplies, computer hardware and software, postage, and food for refreshments or snacks.

- Part II, line 8 -- Items costing more than \$5,000 per unit and having a useful life of more than a year should be listed here. Materials and equipment must be itemized and classified as instructional or non-instructional. The need must be stated in the budget. Grant recipients are reminded of their obligation to follow and document open and competitive procurement procedures when purchasing materials and equipment and of their record-keeping responsibilities (Appendix M).
- Part II, line 9 -- Specific sublines are available for costs associated with a variety of activities outlined in the application instructions. Note that photocopying costs (e.g., \$.05 per copy) belong under printing and reproduction in this line while amounts budgeted to purchase paper for the photocopier would be listed under line 7 (supplies). The lease of a photocopying machine would be listed under rental of space/equipment in this line, while the purchase of such a machine would be listed under line 7 or 8, depending on the cost. Any listing of expenses under "nonclassified" will likely prompt questions since almost all allowable costs can be reflected in one of the specific lines or sublines of the budget.
- Part II, line 10 -- If used, the indirect cost figure must be equal to or less than the approved restricted rate. A list of indirect cost rates is issued annually in late winter by The School Finance Cluster. In calculating the indirect cost allowable for a particular grant, it must be born in mind that indirect costs cannot be charged on either capital expenditures or on indirect costs themselves. Thus, to arrive at the allowable amount one cannot simply multiply a total entitlement by the indirect rate. Instead, it is recommended that the following formula be used:
  1. total entitlement
  2. minus capital expenditures
  3. divided by one plus the restricted rate

The resulting amount is the amount that can be used for grant activities. When this amount is subtracted from the total entitlement, the result equals the amount allowed for indirect cost.

Example: School system A has a restricted rate of .045 and an entitlement of \$98,000. There are no capital expenditures. Thus the calculation is:

$$\begin{array}{r} \$98,000 \\ \hline 1.045 \\ \hline = \$93,780 \end{array} \quad \text{(The amount that can be used for grant activities)}$$

$$\begin{array}{r} \$98,000 \\ - 93,780 \\ \hline \$ 4,220 \end{array} \quad \text{(The amount that can be used for indirect costs.)}$$

### General Guidelines

After completing each grant proposal, the applicant should consider the following general questions:

- Does the application meet the objectives established through the RFP process and related laws, regulations, policies, and program guidelines?
- Does the budget balance?
- Does the budget contain whole dollar amounts only?
  - (no cents)
- Does the application exceed the entitlement amount or the stated maximum for competitive programs?
- Are the costs reasonable for the program and comparable to costs in similar programs?
- Are the costs allowable under the terms of the RFP or under the laws, regulations, or policies which govern that particular program?

As a final resource for this section, the Review Checklist, which is used by Grants Management Staff to perform a technical review of all grants, is provided in Appendix K and may be used as an aid in looking over grants before submitting them to the Department.

## HOW GRANTS ARE AWARDED

### Application Review

Completed applications are submitted together, according to instructions contained in the Unified RFP, to the designated contact at the Department of Education. There they are logged and distributed to the appropriate clusters for review. The review process includes:

- a program review to ensure that proposed activities reflect program guidelines and are appropriate and measurable. For competitive grants, the program review must also include the kind of careful analysis that will enable the reviewers to rank proposals in comparison to others read;
- a technical review to ensure that the grant has been completed accurately and appropriately;
- a legal or regulatory review to determine financial and administrative, as well as programmatic compliance, with the relevant laws, regulations, and policies.

### Approval

Entitlement, allocation, and continuation grants are signed by the appropriate Department of Education administrator as approved, subject to successful completion of a technical review by Grants Management.

Competitive grants are recommended for approval by the appropriate administrator, subject to technical review by Grants Management and approval by the Commissioner and Board of Education.

### Awarding Grants

Grants that are approved are forwarded immediately upon completion of the technical review to Payment Processing, where all the necessary paperwork is done to ensure that grant recipients are sent their funds in a timely manner according to the required allotment schedule. Recipients should be aware that, beginning in FY 95, new cash management requirements were established by the Office of the State Comptroller. These new rules mean that once an approved grant is submitted to Grants Management, it will now take a minimum of four to six weeks to complete the final review and payment process.

This makes it especially important that grants be submitted with all required information completely and accurately filled out, including original signatures.

A standard computer-generated Grant Award Notification form is used to inform grant recipients officially of their awards (see Appendix E). This form provides important information about the grant, such as project duration, approved amount, amount of the initial payment, and project number.

The twelve-digit project number is unique to each individual grant and provides the following information:

- The first series of three numbers is the fund code for the grant and indicates the kind of grant. For a list of fund codes with a brief description of the kind of grant each represents, along with information about account numbers and whether the grant comes from federal, state, or private trust funds, see Appendix L.
- The second series of three numbers is the sequence number which indicates the order in which the grant was logged into the Grants Management Information System under a particular fund code.
- The next single number represents the fiscal year (the number 6 stands for fiscal year 1996, the number 7 for 1997, etc.).
- The following series of four numbers is the district or agency code and is linked in the Grants Management Information System to the recipient's vendor code. For LEAs the three-digit LEA code preceded by a leading zero is used. For other recipients (colleges, collaboratives, private non-profits, other public agencies, Head Starts, 766-approved private schools, etc.) a four-digit system code has been assigned.
- The final number refers to the area of the state where the grant recipient is located.

For example, project number 240-007-5-0332-5 would indicate the following:

- a Special Education, P.L.94-142 entitlement grant (Fund Code 240)
- the seventh grant to be logged in for fund code 240 (007)
- a grant for fiscal year 1995 (5)
- a grant for the West Springfield Public Schools (0332)
- a grant to an LEA in the western part of the state (5)

## The Appeals Process

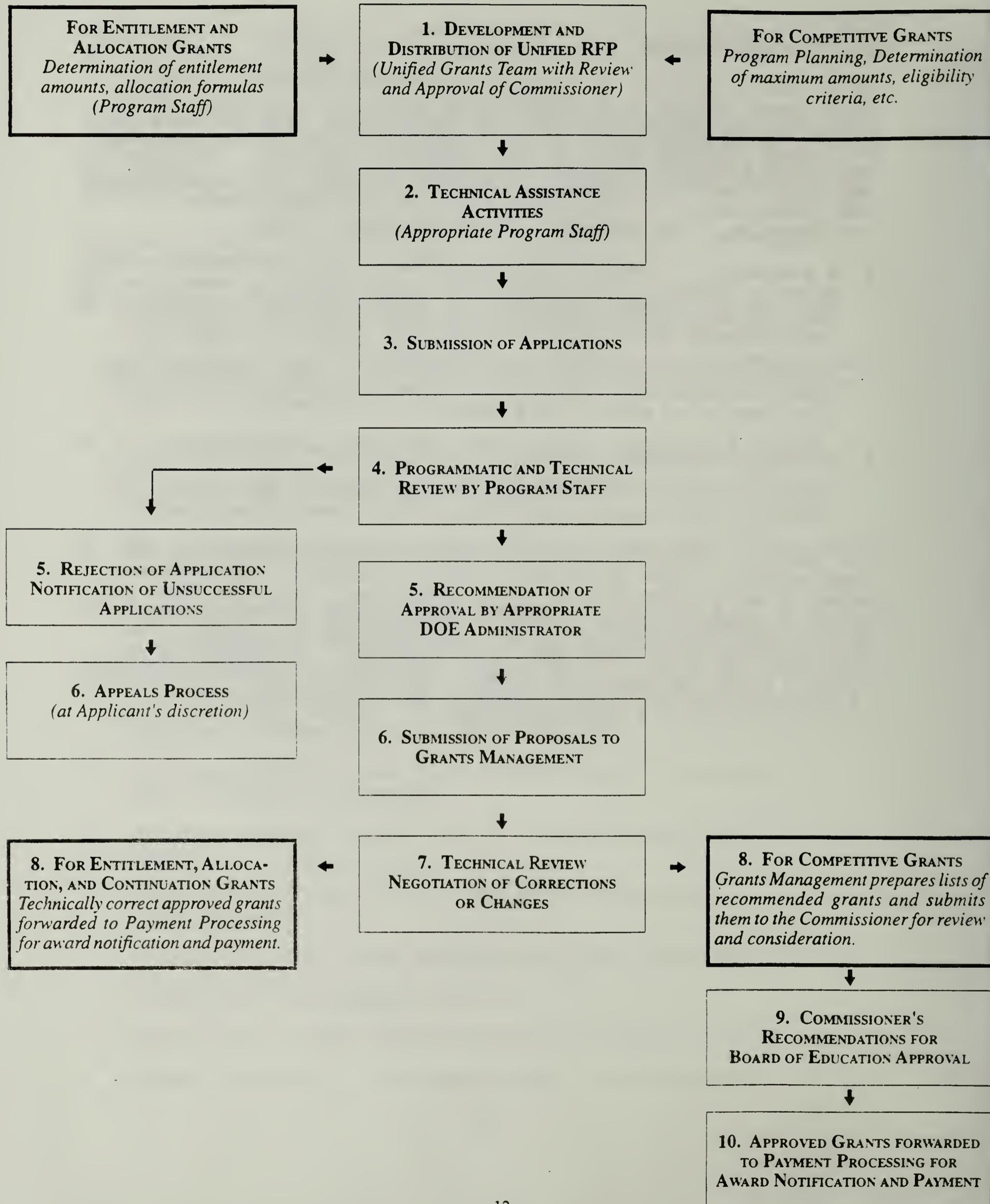
If at the conclusion of a programmatic and technical review of entitlement grants or a competitive process to determine which discretionary grants to fund, the decision is made not to fund a particular federal grant or to withhold funding at any time, the approving authority must notify the grant applicant. If the applicant wishes to request a hearing, the applicant must inform the Commissioner of Education within thirty days of such notification. The request for hearing must include:

- a statement of issues being appealed alleging a violation of state or federal law, regulations, or guidelines governing the applicable program, including an itemization of the matters of fact and law upon which the applicant bases the appeal;
- copies of all documents, correspondence, data, exhibits, and other information which the applicant intends to introduce at the hearing to support its position;
- a list of witnesses whose testimony will be introduced

(excerpt from: "Massachusetts Department of Education Provisions for Appeals of Federal Grant Award Decisions").

The hearing, conducted by a hearing officer designated by the Commissioner, takes place within thirty days and with at least seven calendar days notice to the applicant. No later than ten calendar days after the hearing, the hearing officer issues a written decision confirming or rescinding the Department's determination that funds should be withheld. An applicant for federal funds may appeal the final decision to the U.S. Secretary of Education within twenty calendar days after written notification of the hearing officer.

# Unified RFP, Application, Review, and Approval Process



## HOW TO MANAGE GRANTS

As shown on the flow chart on page 12, once grants are approved and deemed technically correct Payment Processing initiates a series of actions that culminates in the mailing of Grant Award Notifications to both the authorized signatory and the listed contact person for each grant. The initial payments for grants are calculated by the computer based on the following standard allotment schedule, which ensures that funds are distributed on an "as needed" basis in accordance with both state and federal requirements:

<u>Grant Award</u>	<u>Allotment</u>
Up to \$5,000	Full payment with initial award
\$5,000 - \$25,000	One-half initially, balance on request
Over \$25,000	Payments distributed in quarterly allotments on request.

### Request for Funds Process

Form RF1 for requesting funds has been developed to document the Department's distribution of funds on an "as needed" basis (see Appendix F). A copy of this form is sent with each grant award notification to facilitate the request for additional funds. It is incumbent upon grant recipients to observe their expenditures closely and submit their RF1 forms four to six weeks prior to the need for additional funds to allow sufficient time for processing. Grant recipients may make requests in excess of the allotment schedule but must include a letter of justification explaining the need for additional funds.

Adjustments to grant payments are made in the final payment. For example, the amount of money Grants Management sends directly to the Massachusetts Teachers Retirement System (MTRS) on behalf of school systems is deducted from the final payment on their federally funded grants

### REMINDER

#### FOR FEDERALLY FUNDED GRANTS ONLY

Each year on November 1, 80% of the money budgeted for MTRS in line 4 of federal grants is sent directly by Grants Management to MTRS (Appendix J).

## The Amendment Process

Amendments are required when:

1. there is any significant change in program objectives, or
2. there is any increase or decrease in the total amount of the grant, or
3. an increase in a line of the budget exceeds \$100 or 10% of the line (whichever is greater), or exceeds \$10,000.

Amendments are not required when

1. there is no significant change in program objectives,
2. there is no increase or decrease in the total amount of the grant, and
3. an increase in a line of budget is less than or equal to \$100 or 10% of the line (whichever is greater), and does not exceed \$10,000.

When it is determined that an amendment is required, the grant recipient should fill out the standard amendment form (Form AM1, Appendix G) and submit it to the appropriate program liaison. After the amendment request is submitted, the following review and approval process takes place:

1. Program staff conduct a programmatic and technical review.
2. The authorized representative of the Department signs the amendment as approved.
3. A signed copy of the approved amendment is sent to the grant recipient by the approving authority.
4. The approved amendment is submitted to Grants Management for technical review.
5. Review staff notify the Department staff person who approved the amendment of any technical problems.
6. When the amendment is technically correct, the revised budget is entered into the computer in Grants Management, and the amendment is filed in the project folder.

Amendments should be submitted at least thirty days prior to the desired change and must be submitted before the conclusion of the project. The maximum number of amendments to any grant may not exceed two. Exceptions to this limit may be allowed based on sufficient justification as determined by the appropriate and responsible approving authority in the Department.

In preparing an amendment for submission, the following questions should be addressed:

1. Is the project number correct?
2. Does the justification make sense?
3. Was the amendment request submitted prior to the desired change and before the conclusion of the project?
4. Are the revised budget pages attached?
5. Are the revised budget pages correct? (Note: The revised budget pages should be completed with the same care as the original budget pages since they now become the official project budget).
6. For federally funded grants only, if salaries for teachers who are members of MTRS are increased, is the MTRS subline under fringe benefits increased accordingly? If salaries are reduced on an amendment submitted after November 1, is the MTRS subline reduced by an amount that does not exceed 80% of the amount budgeted as of October 31?
7. Does each line in Column A on the AM1 form equal each corresponding line on the originally approved budget?
8. Does Column C balance out? (Do the pluses equal the minuses or does Column C equal the amount of increase or decrease requested)?
9. Does each line in Column D equal the corresponding line item totals listed on the revised budget pages?
10. Does each line in Column D equal the corresponding line in Column A plus the corresponding line in Column C or the corresponding line in Column A minus the corresponding line in Column C?

REMINDER

For Title I, Title VI, and Safe and Drug-Free Schools and Communities grants requesting to use carryover funds, amendments must be submitted by April 1 of the grant year so that they can be processed before entitlements are finalized and grants are submitted for the following grant year.

The Final Reporting Process

At the conclusion of grant activities, recipients must submit a final financial report to the Department accounting for their expenditure of funds received. Grants Management has developed a standard form (FR1) for collecting this information (Appendix H). Grant recipients should file their reports after carefully reconciling all figures with their city auditor, town accountant, or agency business manager.

Grants Management checks these reports to ensure that the expenditure of funds for each line item corresponds to the amount budgeted for that line. Note that over-expenditures that fall at or below the \$100, 10% or \$10,000 line item increase thresholds specified in the Department's amendment policy will be allowed and the final report will be filed. Increases in line items, without approved amendments, which exceed these thresholds will be subject to possible audit exceptions and the return of any funds that were expended inappropriately.

#### FOR FEDERALLY FUNDED GRANTS ONLY

The Department has developed an additional form (Form FR1 A, Appendix I) to aid in reconciling expenditures for MTRS. This form must be completed and submitted along with Form FR1 (Final Financial Report) for any federal project containing funds budgeted and paid for the salaries of staff who are members of MTRS. When the additional liability is calculated by subtracting the amount paid directly by the Department to MTRS from actual liability, this amount should be paid to MTRS. **NO CHECKS FOR ADDITIONAL MTRS LIABILITY SHOULD BE SENT TO THE DEPARTMENT OF EDUCATION.**

#### Unexpended Funds

For grants funded with state money, unexpended funds must be returned to Grants Management with the final financial reports. These funds revert to the state at the conclusion of the fiscal year and cannot be re-used.

For grants funded with federal money Grants Management has two different methods of ensuring that funds are expended within a twenty-seven month period so that money which has to be returned to the federal government is kept to a minimum.

1. For most grants, unexpended funds must be returned with the final financial report each year. While these returned funds are tracked in terms of their fiscal year, they are no longer considered as belonging to a particular school or district. They simply become part of the pool of "old money" available for redistribution. When grants are awarded and payments are made, the "old money" is always sent out first. Only when all of the old money on hand has been distributed are new funds drawn down to send out.
2. For Title I (formerly Chapter I), Title VI (formerly Chapter 2), and Safe and Drug-Free Schools and Communities

grants a somewhat more complicated system of accounting for funds is used due to the carryover provisions in their respective regulations. Instead of being returned with the final report, unexpended funds are kept in the school district to be spent as part of the next year's entitlement Grant. Grants Management records the amount of unexpended funds remaining for each district as final reports come in. Grant recipients have two options regarding those funds:

- They may file amendments to increase their grants by the amount of carryover available after final reports come in. This will give them authorization to spend the carryover in addition to their entitlement.
- They may choose not to file an amendment, in which case an amount equivalent to their unexpended funds is deducted from their final payment and this amount becomes available for use in addition to the following year's entitlement.

Each of these three programs has regulations regarding the percentage of funds which may be carried over. It is therefore best to consult the program liaisons before deciding to defer the use of carryover funds.

### Evaluation

Evaluating grant programs is an important tool in helping to improve the quality of programs, and a number of federally funded grant programs require that evaluations be conducted on a regular basis. In general, grant programs should be evaluated in accordance with the program design and complexity. The overall purposes of evaluation are to:

- guarantee the program's compliance with federal and state law, regulation and policy;
- provide the administrators and staff of a grant program with appropriate feedback in order to improve performance (formative evaluation -- conducted during the course of a grant);
- assess the extent to which the grant program actually achieves its objectives as stated in a grant application (summative evaluation -- conducted when the grant has been completed);
- identify exemplary grant programs or exemplary components of grant programs for appropriate dissemination.

### Financial Audit

Audits of grant programs should be conducted on a regular basis. For most recipients of federal funds, the audit requirement will be satisfied through the "Single Audit" conducted each year. Auditing is another management tool for evaluating whether operations are executed economically, efficiently and effectively.



# **STANDARD APPLICATION FOR PROGRAM GRANTS**



## INSTRUCTIONS

**General Instructions:** The Standard Application for Program grants has been developed for the purpose of collecting information for grant programs in a consistent and simplified manner. An application may contain up to four discrete parts as follows:

- Part I - general descriptor information which identifies the applicant, the source of funds and the general purpose of the grant;
- Part II - budgetary information structured in an object of expenditure or line item format and containing sufficient sub-line item information to comply with the relevant laws;
- Part III - a section including relevant statistical information required under the grant program;
- Part IV - a program descriptor section including detailed program information or any miscellaneous information not covered under the previous three parts.

Minimally an application will contain Parts I and II, and may include either or both Parts III and IV, depending on the unique requirements of the grant program. A current and appropriate master agreement covering specific compliance requirements applicable to the administration of grant funds, must be submitted with the application if the applicant has not already filed a three-year master agreement with the Department. In addition, a set of standardized schedules has been developed for the purpose of collecting supplemental information for certain programs and projects. Please refer to the request for proposals to determine which, if any, schedules are required to be filed with your application for funding.

Grant recipients are advised that: (1) separate and auditable records must be maintained for each project, (2) payrolls must be supported by time and attendance records, (3) salaries and wages of employees chargeable to more than one grant program must be supported by time distribution records, and (4) funds must be administered in compliance with relevant federal, state and local laws, regulations and policies.

### Specific instructions: Part I (General Descriptor Information)

#### Item

- (A) Self explanatory
- (B) Indicate the name, title, address and telephone number of a person who will be responsible for answering questions and providing information regarding the grant project.
- (C) Indicate the name of the federal or state grant program under which you are applying for funds.
- (D) Reference the appropriate Request for Proposals for the relevant five digit number. For your information, the first two digits of the number correspond to the fiscal year (fiscal year 1995 would be "95") during which the project will operate. The last three digits correspond to the code assigned by the Department indicating the source of funds. A comprehensive list of these code numbers is available from the Department on request.
- (E) Self explanatory.
- (F.1) Check the appropriate line.
- (F.2) Check this line if the applicant agency proposes to operate and administer collaboratively the grant project using funds assigned by more than one agency. Complete and attach Schedule A, signing off on the amount of funds assigned by each participating agency.
- (G) Self explanatory.
- (H) Indicate the name you have chosen for the project.
- (I) Self explanatory.

(J) The appropriate and responsible representative (i.e. the superintendent, collaborative director, or chief executive officer of an agency) must sign the certification, indicating his/her typed name, title and the date signed. In the absence of the above named officials, an assistant superintendent or similar administrator, depending on the agency, may sign provided that he/she has been delegated this authority appropriately.

#### Specific Instructions: Part II (Budgetary Information)

The budgetary part of the Standard Application for Program Grants contains financial information to support project expenditures. Its purpose is to consolidate budgetary information in a standardized format, using a line item or object of expenditure format. There are spaces reserved for coding information under each line item. Applicant agencies have the option of using these spaces to code expenditures according to the classification system prescribed by the Department of Education to assist them in completing their End of Year Reports (relevant to school districts only).

If the space provided on the application is insufficient to supply the requested information, attach additional sheets as necessary. However, please make every effort to use only the space provided.

There is sufficient detail in the budget format to cover most costs to be included under a project. However, all allowable items may not be listed (these can be included under "Other-Non Classified"), and certain listed items may not be allowable under all grant programs. Refer to the Request for Proposals or contact the appropriate representative of the Department if you have any questions regarding particular costs.

#### Item

##### (A) Self explanatory

- (1) Supervises project staff and/or directs the project. Costs included under this line item must be directly attributable to the project and documented.
- (2) Provides direct educational/instructional services under the project.
- (3) Provides services necessary to support direct educational/instructional services under the project. Costs included under this line item must be directly attributable to the project and documented.
- (4) If fringe benefits are offered to project staff, these benefits must be granted under approved plans and be consistent with the applicant agency's standards for similar costs supported with other than project funds.
- (5) Services which cannot be provided by other full or part-time staff employed by the project. Generally, these services are for a short-term period and provide a specific and identifiable product or service. Recipients must adhere to relevant procurement standards when advertising for or soliciting potential service providers. Costs for substitutes and stipends would normally be reflected in this budget line.
- (6) Costs for employees on official business incident to the project. Costs must be consistent with the applicant agency's standards for similar activities supported with other than project funds.
- (7) Costs necessary to carry out the project. Supplies are defined as expendable personal property having a useful life of less than one year or an acquisition cost of less than \$5,000 per unit.
- (8) Costs necessary to carry out the project. Materials and equipment are defined as tangible non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.
- (9) Other:

Advertising - Costs for newspaper, magazine, radio, television, direct mail, trade paper, or other advertising provided that the costs are solely for: (a) recruitment of personnel required for the project, (b) solicitation of bids for procurement of goods or services required for the project.

Maintenance and Repairs - Costs incurred for maintenance or repair of equipment purchased with project funds necessary to keep it in efficient operating condition.

**Memberships and Subscriptions** - Costs of membership in civic, business, technical and professional organizations provided that: (1) the benefit from the membership is related to the project, (2) the expenditure is for agency membership, (3) the cost of the membership is reasonably related to the value received, and (4) the expenditure is not for membership in an organization which devotes a substantial part of its activities to influencing legislation.

**Printing and Reproduction** - Costs incurred for printing and reproduction services necessary for project administration, including forms, reports, manuals and informational literature.

**Transportation** - Costs for pupil travel to and from school, between schools and in and around school buildings and for appropriate field trips or site visits, etc. related to the project.

**Telephone/Utilities** - Direct costs for telephone/telecommunications service and utility expenses which relate exclusively to the project.

**Rental of Space/Equipment** - Direct costs for rental of space/equipment which relate exclusively to the project, provided that the total cost does not exceed the rental costs for similar space or equipment supported with other than project funds.

**Non-classified** - Use this category for allowable costs not included under the above line items.

(10) For all school districts in Massachusetts, costs must be consistent with the rate established by the Department's Information and Outreach Services Cluster. For other than school systems, applicant agencies must comply with provisions of CFR 34 S.76.561. (Please note that indirect costs are not allowable under certain grant programs. If you have any questions regarding this issue, contact the appropriate representative of the Department.)

- (B) Optional - see preface of Part II under Specific Instructions.
- (C) List the title of the staff employed under the project. In identifying the title, you should attempt to relate the title to any certification or licensing standards which may be required for the position.
- (D) Indicate the actual number of staff (head count) for the positions listed under "Title."
- (E) Summarize and indicate the time funded as a percentage of full time equivalency for the positions listed under "Title."
- (F) For all positions listed under "Title", check if the staff are members of the Massachusetts Teachers' Retirement System (MTRS). (Disregard this requirement for state funded programs.)
- (G) Indicate the amount budgeted for the positions listed under "Title."
- (H) Indicate the subtotal of the amounts for each line item.
- (I) Indicate the amount of "Fringe Benefits" allocable to the Massachusetts Teachers' Retirement System.
- (J) Self explanatory
- (K) Self explanatory
- (L) Indicate the amount of funds allocable to "In-State Travel" and "Out-of-State Travel."
- (M) Self explanatory
- (N) Indicate the amount of "Supplies" allocable to "Instructional" and "Non-Instructional."
- (O) Identify the item and quantity to be purchased and provide a brief statement of need and the amount.
- (P) Indicate the amount of funds for "Materials and Equipment" allocable to "Instructional" and "Non-Instructional".
- (Q) Indicate the rate applied. Check the appropriate line. (Applicable to federal programs only -- see CFR 34S.76.563 for a list of programs where a restricted rate may be used.)

MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS

PART I General Descriptor Information

A. APPLICANT: \_\_\_\_\_  
(Legal Name of Agency)

ADDRESS: \_\_\_\_\_  
(Street, City/Town, Zip Code)

B. CONTACT PERSON: \_\_\_\_\_

TITLE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_  
(Complete if not the same as above)

TELEPHONE NO: \_\_\_\_\_

C. NAME OF GRANT PROGRAM/  
SOURCE OF FUNDS: \_\_\_\_\_

D. IN RESPONSE TO REQUEST FOR PROPOSALS #: \_\_\_\_\_

E. TOTAL AMOUNT REQUESTED: \$ \_\_\_\_\_

G. PROPOSED DURATION OF PROJECT: from    /    /    to    /    /     
mo day yr      mo day yr

H. TITLE OF PROJECT: \_\_\_\_\_

F. TYPE OF PROJECT

1) Individual \_\_\_\_\_  
2) Consolidated \* \_\_\_\_\_

\* If this is checked,  
please complete  
SCHEDULE A signing  
off on the amount of  
funds assigned by each  
participating agency.

I. BRIEF DESCRIPTION (In the space provided, please describe the activity to be conducted, the population to be served and the primary objective of the project):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

J. I CERTIFY THAT THE INFORMATION CONTAINED IN THIS APPLICATION IS CORRECT AND COMPLETE;  
THAT THE APPLICANT AGENCY HAS AUTHORIZED ME, AS ITS REPRESENTATIVE, TO FILE THIS  
APPLICATION; AND THAT I HAVE FILED A CURRENT AND APPROPRIATE MASTER AGREEMENT COVERING  
SPECIFIC COMPLIANCE REQUIREMENTS APPLICABLE TO THE ADMINISTRATION OF GRANT FUNDS.

TYPED NAME

TITLE

SIGNATURE

DATE

**DEPARTMENT USE ONLY**

NAME OF SERVICE GROUP OR CLUSTER

REVIEWING APPLICATION: \_\_\_\_\_

REVIEWED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

RECOMMENDED

FOR APPROVAL BY: \_\_\_\_\_ DATE: \_\_\_\_\_

**FINANCIAL MANAGEMENT**

PROJECT #: \_\_\_\_\_

REVIEWED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

## PROJECT EXPENDITURES

### PART II Budgetary Information

#### DETAILED INFORMATION

A.	B. (Optional) CODE #	C. TITLE	D. NUMBER OF STAFF	E. FTE	F. MTRS	G. AMOUNT	H. SUBTOTAL FOR LINE ITEM						
(1)													
ADMINIS- TRATORS													
(2)													
INSTRU- TIONAL/ DIRECT SERVICE STAFF (PROFESS- IONAL STAFF)													

Check the box  
below  
if the identified  
employee(s)  
is/are a member of  
the Mass.  
Teachers'  
Retirement System

## PROJECT EXPENDITURES

## DETAILED INFORMATION

Check the box below if the identified employee(s) is/are a member of the Mass. Teachers' Retirement System.

## PROJECT EXPENDITURES

## DETAILED INFORMATION

PROJECT EXPENDITURES

DETAILED INFORMATION

LINE ITEM	(Optional) CODE #	ACTIVITY		SUBTOTAL FOR LINE ITEM
		AMOUNT	AMOUNT	
(8) MATERIALS AND EQUIPMENT (Items costing \$5,000 or more and having a useful life of more than one year)	ITEM	NEED	AMOUNT	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
(9) OTHER	P (Summary) Instructional	AMOUNT	AMOUNT	
	Non-Instructional	\$	\$	
		\$	\$	
		\$	\$	
		\$	\$	
		\$	\$	
		\$	\$	
		\$	\$	
		\$	\$	
		\$	\$	
(Briefly explain in the spaces provided)				
Advertising	AMOUNT	AMOUNT	AMOUNT	
Maintenance & Repairs	\$	\$	\$	
Memberships & Subscriptions	\$	\$	\$	
Printing & Reproduction	\$	\$	\$	
Transportation	\$	\$	\$	
Telephone/Utilities	\$	\$	\$	
Rental of Space/Equipment	\$	\$	\$	
Non-Classified	\$	\$	\$	
	\$	\$	\$	
Q. Approved Rate: _____				
10) INDIRECT COSTS	\$	\$	\$	
11) TOTAL FUNDS REQUESTED	\$	\$	\$	

**MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS  
SCHEDULE A  
(Consolidated Assignment Schedule)**

- 1) This schedule is to be completed if the applicant agency operates and administers a grant project using funds assigned by more than one agency.
- 2) Agency operating and administering the project:

(Legal Name of Agency)

3) Name of grant program/source of funds:

4

Legal Name of  
Participating Agencies

**Amount of  
Assigned Funds**

\* Authorized Signature

\$

§

8

§

8

Total of Assigned Funds: \$ \_\_\_\_\_

\* I/We assign the identified funds to the project described in the accompanying grant application. The indicated agency is authorized to receive and disburse funds for the purpose of operating the project.



**MASSACHUSETTS DEPARTMENT OF EDUCATION**  
**STANDARD APPLICATION FOR PROGRAM GRANTS**  
**SCHEDULE B**  
**(Cost Sharing or Matching Schedule)**

- 1) The schedule is to be included with and supplements the information provided on "The Standard Application for Program Grants," and must be completed for any grant projects which contain a cost sharing or matching funds requirement.
- 2) Applicant: \_\_\_\_\_  
(Legal Name of Agency)
- 3) Name of grant program/source of funds: \_\_\_\_\_
- 4) "Cost sharing or matching" means the value of third-party contributions and that portion of a grant-supported project or program not supported by the federal or state government. (See CFR 34 s74.50-74.57 and the relevant program regulations for additional requirements and information).
- 5) The applicant must maintain and provide to the appropriate representative of the Department of Education on request, auditable records including related documentation to support any costs used in computing the shared or matched portion of the applicant's contribution as indicated in Column B below.
- 6) Complete the summary budget below:

LINE ITEM	COLUMN A* Amount of Project's Contribution	COLUMN B Applicant's Contribution	COLUMN C Total of Columns A & B
1. Administrators			
2. Instructional/Direct Service Staff			
3. Non-Instructional/Support Staff			
4. Fringe Benefits			
5. Contractual Services			
6. Travel			
7. Supplies			
8. Materials & Equipment			
9. Other			
10. Indirect Costs			
11. Total			

\* The amounts under this column must agree with the corresponding subtotals included under the line items of the "Standard Application for Program Grants."



MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS  
**SCHEDULE C**  
**(Statement of Participation and Support)**

1) This schedule is to be completed if the applicant agency is proposing to operate a grant project which will be a collaborative effort among a number of agencies.

2) Agency operating and administering the project:

(Legal Name of Agency)

3) Name of grant program/fund source code:

4) Legal Name of  
Participating Agencies

Authorized Signature\*

\* I/We have participated in the planning and design of this project and agree to support and participate in the activities outlined in this application.



**The Commonwealth of Massachusetts**  
**Department of Education**  
**350 Main Street, Malden, Massachusetts 02148-9150**

**GRANT AWARD NOTIFICATION**

1. RECIPIENT NAME	5. DATE
	6. APPROVED AMOUNT
2. PROJECT NUMBER	7. PAID TO DATE A: DISTRIBUTED: B: PAID DIRECTLY: (MTRS)
3. PROJECT TITLE	8. AMOUNT OF THIS PAYMENT
4. PROJECT DURATION	9. FUNDING SOURCE

The identified project has been approved for the amount indicated in item 6 above. A payment in the amount indicated in item 8 is authorized and will be forwarded by the Treasurer of the Commonwealth.

The project must be administered according to the grant agreement and in compliance with the required and current Master Agreement on file with the Department of Education.

If the payments under the project have not been authorized to the approved amount, please refer to the instructions on Form RF-1 (Request for Funds) to claim additional funds.

Questions regarding this notice should be referred to the Grants Management staff at (617) 388-3300, x568.

cc: Superintendent  
 Contact Person  
 Approving Authority



**MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS  
FORM RF 1  
(REQUEST FOR FUNDS)**

## PART I

- A) All sections of this report must be completed, and the request submitted, four to six weeks prior to the need for additional funds to allow sufficient time for processing.
- B) Unexpended balances should be maintained to a minimum to assure the efficient utilization of funds.
- C) The allotment schedule below must be utilized when requesting funds. Any request in excess of the allotment schedule must include a letter of justification explaining the need for additional funds, otherwise the request will be reduced to coincide with the allotment schedule. Letters will be reviewed and approved or disapproved at the discretion of the staff of Financial Management.

## ALLOTMENT SCHEDULE

GRANT AMOUNT: up to \$5,000 - full payment with the initial award  
\$5,000 - \$25,000 - one-half initially, the balance on request  
over \$25,000 - payments distributed in quarterly allotments on request

D) Complete and return as follows: Massachusetts Department of Education  
 Financial Management  
 350 Main Street  
 P.O. Box 9150  
 Malden, MA 02148-9150      ATTENTION: Accounting and Processing

E) Grant Recipient: \_\_\_\_\_  
 (Legal Name of Agency)

F) Address: \_\_\_\_\_  
 (Street, City/Town, Zip Code)

G) Project Number: \_\_\_\_\_

H) Name of Grant Program/Source of Funds: \_\_\_\_\_

I) Name of the Person Completing this Report: \_\_\_\_\_  
 (please type or print)

---

PART II

---

**Title**

Telephone #

A) Funds Received: (amount received to date for this project) \$ \_\_\_\_\_

B) Funds expended: (see total Part III column C) \$ \_\_\_\_\_

C) Unexpended balance: (subtract the amount of line B from line A) \$ \_\_\_\_\_

D) Funds required this period (see the allotment schedule) \$ \_\_\_\_\_

PART III

A) Leave Column B blank, if the budget approved originally has not been previously amended.

B) The sum of Columns C and D must equal Column A (or Column B, if the budget approved originally has been amended).

	Column A <b>LINE ITEM</b>	Column B <b>BUDGET APPROVED ORIGINALLY</b>	Column C <b>APPROVED AMENDED BUDGET (IF APPLICABLE)</b>	Column D <b>FUNDS EXPENDED</b>	Column D <b>BALANCE UNEXPENDED</b>
1) Administrators					
2) Instructional/Direct Service Staff					
3) Non-Instructional/ Support Staff					
4) Fringe Benefits					
5) Contractual Services					
6) Travel					
7) Supplies					
8) Materials and Equipment					
9) Other					
10) Indirect Costs					
11) Total					

I certify that all the information contained in this **Request for Funds** is true and correct.

Signature of Authorized Representative

Typed or Printed Name

Title

Date Report Submitted

**MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS  
FORM AM 1  
(AMENDMENT REQUEST FORM)**

## PART I

- A) All sections of this report must be completed, and the request submitted, at least 30 days prior to the proposed change and no later than 30 days prior to the termination date of the project.
- B) Attach a copy of the amended budget pages (Part II of the Standard Application for Program Grants) indicating revised line item and sub-line item changes and totals for amendment requests which affect budgeted amounts.
- C) Complete and return this request with two copies addressed to the attention of the appropriate representative of the Department of Education.
- D) Amendment requests must be approved in writing by an authorized representative of the Department of Education prior to implementation.

E) Grant Recipient: \_\_\_\_\_  
(Legal Name of Agency)

F) Address: \_\_\_\_\_  
(Street, City/Town, Zip Code)

G) Project Number: \_\_\_\_\_

H) Name of Grant Program/  
Source of Funds:

I) Name of the Person Completing this Report: \_\_\_\_\_  
(please type or print)

---

**Title**

Telephone #

## PART II

Justification: (Explain and justify why the proposed amendment should be implemented; attach additional sheets if the space provided is insufficient for this).

**PART III**

A) Leave Column B blank, if the budget approved originally has not been previously amended.  
B) Under Column C, indicate the amount of increase (+) or decrease (-) for the affected line items.  
C) Under Column D, indicate revised cumulative totals for all line items.

	Column A	Column B	Column C	Column D
LINE ITEM	BUDGET APPROVED ORIGINALLY	APPROVED AMENDED BUDGET (IF APPLICABLE)	AMENDMENT REQUEST	REVISED BUDGET
1) Administrators				
2) Instructional/Direct Service Staff				
3) Non-Instructional/Support Staff				
4) Fringe Benefits				
5) Contractual Services				
6) Travel				
7) Supplies				
8) Materials and Equipment				
9) Other				
10) Indirect Costs				
11) Total				

I certify that all the information contained in this amendment request is true and correct:

---

Signature of Authorized Representative

---

Typed or Printed Name

---

Title

---

Date Request Submitted**PART IV (To be completed by the Department of Education)**

Action Taken:

A) Approved  Effective Date of Approval \_\_\_\_\_  
B) Disapproved  Reason for Disapproval \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

Signature of Authorized Representative

---

Typed or Printed Name

---

Title

---

Date

**MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS  
FORM FR 1  
(FINAL FINANCIAL REPORT)**

**PART I**

- A) All sections of this report must be completed, and the report submitted, within thirty days of the termination date of the project.
- B) A check made payable to the "Commonwealth of Massachusetts" must be returned for any unexpended funds (not applicable to certain programs).
- C) Complete and return as follows:

Massachusetts Department of Education  
Financial Management  
350 Main Street  
P.O. Box 9150  
Malden, MA 02148-9150

ATTENTION: Financial Analysis and Reporting

- D) Grant Recipient: \_\_\_\_\_  
(Legal Name of Agency)
- E) Address: \_\_\_\_\_  
(Street, City/Town, Zip Code)
- F) Project Number: \_\_\_\_\_
- G) Name of Grant Program/  
Source of Funds: \_\_\_\_\_
- H) Name of the Person Completing this Report: \_\_\_\_\_  
(please type or print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Telephone #

**PART II**

- A) Funds Received: (this project) \$ \_\_\_\_\_
- B) Funds expended: (see total Part III column C) \$ \_\_\_\_\_
- C) Unexpended balance: (subtract the amount of line B from line A) \$ \_\_\_\_\_

**PART III**

A) Leave Column B blank, if the budget approved originally has not been previously amended.  
B) The total of Columns C and D must equal Column A (or Column B, if the budget approved originally has been amended).

	Column A  LINE ITEM	Column B  BUDGET APPROVED ORIGINALLY	Column C  APPROVED AMENDED BUDGET (IF APPLICABLE)	Column D  FUNDS EXPENDED	BALANCE UNEXPENDED
1) Administrators					
2) Instructional/Direct Service Staff					
3) Non-Instructional/ Support Staff					
4) Fringe Benefits					
5) Contractual Services					
6) Travel					
7) Supplies					
8) Materials and Equipment					
9) Other					
10) Indirect Costs					
11) Total					

I certify that all the information contained in this **Final Financial Report** is true and correct.

---

Signature of Authorized Representative  
(e.g. School Business Manager or Town Accountant)

---

Typed or Printed Name

---

Title

---

Date Report Submitted

**MASSACHUSETTS DEPARTMENT OF EDUCATION  
STANDARD APPLICATION FOR PROGRAM GRANTS  
FORM FR 1 (A)  
(MTRS SUPPLEMENT TO THE FINAL FINANCIAL REPORT)**

**Part I**

A) All sections of this report must be completed, and the report submitted, with Form FR1 (Final Financial Report), for any **federal** project containing funds budgeted for staff who are members of the Massachusetts Teachers' Retirement System (MTRS) and whose salaries are paid from the identified **federal** project.

B) Complete, staple this to Form FR1, and return as follows:

Massachusetts Department of Education  
Financial Management  
P.O. Box 9150, 350 Main Street  
Malden, MA 02148  
Attention: Financial Analysis and Reporting Unit

C) Make any additional payments directly to the Massachusetts Teachers' Retirement System. **Do not make payments to the Department of Education for the liability to MTRS.**

(Do not complete items D through H if the information is the same as that on Form FR1 and this report is stapled to it.)

D) Grant Recipient: \_\_\_\_\_  
(legal name of agency)

E) Address: \_\_\_\_\_  
  
(street, city/town, zip code)

F) Project Number: \_\_\_\_\_

G) Name of Grant Program/  
Source of Funds: \_\_\_\_\_

H) Name of the Person  
Completing this Report: \_\_\_\_\_  
(please type or print)

\_\_\_\_\_ Title

\_\_\_\_\_ Telephone

Part II

A) Amount budgeted for MTRS as of November 1st of the applicable grant period. (Obtain this figure from Line Item four (4), "Fringe Benefits," Subline 1, "Massachusetts Teachers' Retirement System," of the original grant application or subsequent approved amendment. If zero, please indicate). \$ \_\_\_\_\_

B) Multiply the figure on Line A by eighty per cent (.8). This should equal the payment directly made for you by the Department of Education to the Massachusetts Teachers' Retirement System. (If zero, please indicate). \$ \_\_\_\_\_

C) Compute the actual liability to MTRS for this federal project, by multiplying the combined total salaries paid under this project to staff who are members of MTRS by nine percent (.09). \$ \_\_\_\_\_

D) Subtract Line B from Line C and indicate the result on Line D. This should constitute the additional liability to be paid directly by you to the Massachusetts Teachers' Retirement System. **Do not pay this amount to the Department of Education.** \$ \_\_\_\_\_

I certify that all information contained in this report is true and correct:

---

Signature of Authorized Representative

---

Typed or Printed Name

---

Title

---

Date Report Submitted

**POLICY STATEMENT ON PENSION CHARGES TO FEDERAL GRANTS**

Massachusetts General Laws Chapter 35, Section 32A and Chapter 40, Section 5D require that all federal grants received by local governments be charged for pension costs incurred because of the grant. County, municipal and district treasurers are required to make provisions for charging federal grants for pension costs of all active members of a retirement system whose salaries are paid from these grants. This charge is separate from the member's mandatory contribution, which will continue. The Division of Public Employee Retirement Administration has determined that beginning in FY 88 the appropriate charge for all federal grants is 9% of total grant salaries.

For any federally-funded educational grants received through the Massachusetts Department of Education, 80% of the required percentage (9%) of budgeted payroll for pension costs of employees who are members of the State Teachers' Retirement System will be deducted by the Department of Education prior to receipt of grant funds at the local level.

Prior to the termination of the grant, the local school district will determine its actual liability and pay the Massachusetts Teachers' Retirement Board directly for any balance owed.

(Excerpts from "Informational Guideline No. 90-106: Charges to Federal Grants," Massachusetts Department of Revenue, Division of Local Services)



**MASSACHUSETTS DEPARTMENT OF EDUCATION**  
**STANDARD APPLICATION FOR PROGRAM GRANTS**  
**REVIEW CHECKLIST**

LEA/AGENCY \_\_\_\_\_ AMOUNT \_\_\_\_\_

REVIEWER \_\_\_\_\_ DATE \_\_\_\_\_

**PART I. GENERAL DESCRIPTOR INFORMATION**

- A. Applicant Name and Address
- B. Contact Person, Address, and Telephone Number
- C. Name of Grant Program/Source of Funds
- D. Request for Proposals Number Indicated
- E. Total Amount Requested (Does not exceed entitlement, allocation or RFP Limit)
- F. Type of Project

1. Individual \_\_\_\_\_

2. Consolidated \_\_\_\_\_ (Schedule A completed)

- G. Duration of Project (Within allowable grant period)
- H. Title of Project
- I. Brief Description
- J. Authorized Signature, Title, Date

Program Division Review/Approval  
 Bureau of Grants Management Review

COMPLETE	INCOMPLETE	NEEDS CLARIFICATION	NOT APPLICABLE



**PART II. BUDGETARY INFORMATION**

A. Line Items

- 1. Administrators (Number of Staff, FTE, MTRS)
- 2. Instructional/Direct Service Staff (Number, FTE, MTRS)
- 3. Non-Instructional/Support Staff (Number, FTE, MTRS)
- 4. Fringe Benefits (MTRS computed where applicable)
- 5. Contractual Services (Rates per hour or per day provided)


COMPLETE	INCOMPLETE	NEEDS CLARIFICATION	NOT APPLICABLE

6. Travel (Related to grant and for grant personnel)

- a. In State \_\_\_\_\_
- b. Out of State \_\_\_\_\_

7. Supplies

- a. described broadly or itemized if required by RFP \_\_\_\_\_
- b. classified as instructional or non-instructional \_\_\_\_\_

8. Equipment & Materials

- a. need stated and itemized \_\_\_\_\_
- b. classified as instructional or non-instructional \_\_\_\_\_

9. Other (Must be allowable under the program and not duplicate costs listed in other line items)

10. Indirect Costs (If used, must be equal to or less than approved rate)

11. Total Funds Requested

B. All Addition is Correct

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### PART III. STATISTICAL INFORMATION

- A. Has Been Completed as Required by RFP (For state agencies, ISA sheet is attached).
- B. Information Conforms with Program Guidelines


### PART IV. PROGRAM DESCRIPTOR

- A. Has Been Completed as Required by RFP
- B. Information Conforms with Program Guidelines


FUND CODE	SOURCE OF FUNDS	APPR ACCT	CFDA	TYPE
131	Carnegie Foundation Grant	7032-0304	99.999	TF
132	Palms-Challenge Grants	7010-9092		TF
133	Palms-Noyce Demonstration	7010-9092		TF
134	Palms-Noyce Multi.-Dist.	7010-9092		TF
135	Palms-Noyce Reg Providers	7010-9092		TF
136	Project Zero	7038-9030		TF
233	Sped Dept of Public He'th	7028-0816	84.009	DF
240	Sped 94-142 Allocation	7035-0316	84.027	DF
241	Sped Supplement	7035-0316	84.027	DF
242	Sped Learning Together	7035-0316	84.027	DF
243	Sped 94-142 Transition	7035-0316	84.027	DF
244	IEP Training	7035-0316		DF
245	Sped 94-142 Y.A.L.D.	7035-0316	84.027	DF
249	Sped Public/Private Collb	7035-0316	84.027	DF
251	Sped SPRIG	7035-0316	84.027	DF
257	SPED School to Work Trans	7035-0316	84.027	DF
258	Sped Transition Services	7028-9126	84.158	DF
259	Early Child. Quality Net.	7035-0716	84.173	DF
262	Sped Early Childh'd Alloc	7035-0716	84.173	DF
267	Least Restrict Environ St	7035-0316	84.027	DF
268	SPED 94-142 SAFE SCHOOLS	7035-0316	84.027	DF
269	Chapter 2 Health	7030-9736	84.151	DF
270	First Grant	7010-9135	84.215	DF
271	Health Ed First Grant	7032-0500		DS
274	Sped Curr Frameworks	7035-0316	84.027	DF
275	Curr Frameworks	7010-0010		DS
276	High School Restructuring	7010-0010		DS
277	High School Alliance	7010-0010		DS
278	Elimination of Gen Track	7010-0010		DS
279	Time & Learning	7010-0010		DS
280	Curr Frameworks Coord	7010-9104	84.168	DF
281	Curr Frameworks Teach Pr	7010-9104	84.168	DF
288	Ed Reform-Prof Developmen	7010-0010		DS
289	Sped-Professional Develop	7035-0316	84.027	DF
296	Early Childhood Family	7030-1000		DS
297	Project Impact	7035-0716	84.173	DF
298	E. C. Learning Together	7035-0716	84.173	DF
300	Eisenhower Math/Science	7030-9790	84.164	DF
301	Palms NSF Demonstration	7010-9094		DF
302	Chapter 2 Distribution	7030-9736	84.151	DF
303	Teacher Train Math & Scin	7030-9790	84.164	DF
304	Even Start	7035-0166	84.213	DF
305	Title 1 Distribution	7035-0116	84.010	DF
306	Title 1 Neglected-DOC	7035-0136	84.013	DF
307	Title 1 Delinquent-DYS	7035-0126	84.013	DF
308	Title 1 Migrant	7035-0146	84.011	DF

FUND CODE	SOURCE OF FUNDS	APPR ACCT	CFDA	TYPE
310	Homeless Exemplary	7035-0151	84.225	DF
311	Chap 1 Learning Together	7032-0402	84.012	DF
312	Foreign Language Assist.	7032-9130	84.249	DF
313	Emergency Immigration Act	7038-9746	84.162	DF
315	Emg Img Learning Together	7038-9746	84.027	DF
317	Racial Imbalance (Metco)	7010-0012		DS
318	Ch. 636, Section 8	7010-0042		DS
319	Ch.636 Section 1	7010-0043		DS
321	Ch1 Capital Exps/Private	7035-0156	84.216	DF
322	Ch1 Program Improvement	7035-0157	84.218	DF
325	State Legislation Impact	7038-0129	99.999	DF
326	Adult Ed. Homeless	7038-0110	84.192	DF
327	Workplace Literacy Ptship	7038-0151	84.198	DF
328	Emerg Imm Learn Together	7038-9746	84.162	DF
329	Health Ed Middle Grades	7032-0500		DS
330	Health Protection ABE	7032-0500		DS
331	Drug Free Schools-Dist	7032-0230	84.186	DF
337	English Literacy MELD	7038-0193	84.223	DF
338	C. H. Learning Together	7032-0500		DS
339	Pilot Mentoring Health Ed	7032-0500		DS
340	Adult Basic Education D.	7038-0106	84.002	DF
343	Adult Ed SABES	7038-0106	84.002	DF
344	Adult Ed PALMS	7038-0106	84.002	DF
345	Adult Ed. Learning Ctr.	7035-0002		DS
346	Health Education	7032-0500		DS
349	Smoking Cessation	7032-0300		DS
352	Comm Literacy/ORI	7035-0807	99.999	TF
353	Ad.Ed. Learning Together	7038-0106	84.002	DF
354	Learn & Serve Sch. Based	7038-9004		DF
356	Americorps	7038-9204	84.219	DF
357	Learn & Serve Higher Ed	7038-9104	84.219	DF
358	AmeriCorps	7038-9204	84.219	DF
361	PALMS State Liaison	7027-1000		DS
364	PALMS State Teacher Prep	7027-1000		DS
368	PALMS State LEA	7027-1000		DS
369	Palms-NSF Reg Providers	7010-9094		DF
370	Palms-NSF Teacher Prep	7010-9094		DF
371	Palms-State Reg Providers	7027-1000		DS
373	State Literacy Res. Ctrs.	7038-0195	84.254	DF
374	Nat. Inst. for Literacy	7038-0197	84.257	DF
375	Health Ed Com Colleges	7032-0500		DS
376	Health Ed Family Inv	7032-0500		DS
385	Christa McAuliffe Fellow	7033-9402	84.190	DF
387	Mid Gr Curriculum/Health	7030-2000		DS
388	Coalition of Essent Schls	7030-2000		DS
389	Accelerated Schools Plan	7030-2000		DS

FUND CODE	SOURCE OF FUNDS	APPR ACCT	CFDA	TYPE
390	Head Start Salary Grant	7030-1500		DS
391	Early Childhood	7030-1000		DS
392	Essential Skills Dropout	7030-2000		DS
393	Essential Skills Remedial	7030-2000		DS
394	Head Start	7030-1500		DS
396	Middle Grade Alliance Net	7030-2000		DS
400	Occ Ed-Vocational Skills	7027-9116	84.048	DF
413	State Lead - Curr Devel	7027-9116	84.048	DF
414	State Lead Future Farmers	7027-9116	84.048	DF
420	SP-Voc Skills Training	7027-9116	84.048	DF
424	SP-Other	7027-9116	84.048	DF
429	Eliminate Sex Bias-Other	7027-9116	84.048	DF
430	Occ Ed Corrections	7027-9116	84.048	DF
449	CBO-Other	7027-9121	84.174	DF
450	Consumer & Homemaker Prog	7027-9122	84.049	DF
452	Corr-Skills Training	7027-9116	84.048	DF
468	Tech Prep Other	7027-9123	84.243	DF
480	School to Work Transition	7027-0016		DS
496	DET/Tech Prep	7027-1017		DF
497	DET/Literacy Training	7027-1017		DF
498	Occ Ed/DPW	7035-0033		DS
500	G 2000 Improvement Plans	7010-2000	84.276	DF
501	G 2000 Preservice Program	7010-2000	84.276	DF
502	G 2000 Professional Dev	7010-2000	84.276	DF
503	G 2000 Alternative Ed	7010-2000	84.276	DF
510	Title I Mentoring	0000-0000		DF
520	Learn & Serve Comm. Based	7038-9404	94.004	DF
548	Nutrition Education	7053-2118	10.564	DF
549	Nutrition Summer Start-up	7053-1925		DS
550	Accelerated Sch Expansion	7030-2000		DS
560	Adult Ed Wellspring	7038-2120		DS
601	Tech. Capital Matching	7010-7957		DS



**PROCUREMENT POLICY  
OF THE DEPARTMENT OF EDUCATION  
WHEN PURCHASING GOODS & SERVICES UNDER GRANTS**

**General:** This policy eliminates the procurement requirements for Goods and Services outlined on pages 3, 4, 5 and 6 of the Department's document "Administrative Requirements for the Application and Approval of Discretionary State and Federal Grants," and replaces those with the standards outlined in this policy statement.

According to Federal standards there are essentially four methods of procurement: (1) procurement by small purchases, (2) procurement by sealed bids, (3) procurement by competitive proposals, and (4) procurement by noncompetitive proposals. To understand what type of procurement would be appropriate under specific circumstances, grantees should review the relevant sections of 34 CFR 80.36. In addition, the Department of Education requires prior approval by the responsible program official of all procurements which exceed \$25,000 if any of the following circumstances are applicable:

- the procurement is to be awarded without competition, or only one bid or offer is received in response to a solicitation;
- the procurement specifies a "brand name" product;
- the proposed award is to be awarded to other than the apparent low bidder under a sealed bid procurement;

Grantees and contractors must comply with relevant federal, state and local laws, regulations and policies when procuring goods and services. Outlined below are some basic requirements for goods and services, including relevant standards for both public and private non-profit entities.

**I. GOODS**

**A. Public Entities (other than state agencies)**

State procurement standards for municipalities are outlined under MGL Chapter 30, Section B (Uniform Procurement Act). These are more stringent than the relevant Federal standards in determining a minimum amount above which formal advertising must be conducted for procuring goods. Therefore, the State standard would supersede the Federal standard. However, grantees are

advised to review the cited Federal standards to assure: (1) compliance under all circumstances, and (2) the inclusion in contracts of any clauses required by Federal statutes and executive orders and their implementing regulations.

### **B. Private Non-Profit Entities**

Private non-profit entities are not covered under the provisions of MGL Chapter 30B (Uniform Procurement Act), but are subject to the relevant Federal standards. In addition, these standards have been adopted by the Department as reasonable, and must also be applied to State grants.

## **II. SERVICES**

### **A. Public Entities (other than state agencies)**

Under most circumstances procurement of contractual services is subject to the same standards applicable to regular salaried staff. Highlighted below are certain aspects of the requirements:

1. Contractual services shall be procured in a manner to provide, to the maximum extent practicable, open and free competition.
2. In general, formal advertising shall be used as a method to solicit competition of contractual services.
3. If formal advertising is not used in soliciting of contractual services, the procurement shall be considered a negotiated procurement.
4. Whether contractual services are solicited through formal advertising or through negotiation, the recipient shall:
  - (a) assure that the process used as a basis for selecting the contractor was reasonable and appropriate for the type of services solicited;
  - (b) maintain a written justification explaining the lack of competition when competitive applications/proposals are not obtained;
  - (c) maintain appropriate files and records indicating the basis for awarding the contract to the selected contractor;

(d) maintain a written code of standards of conduct governing the performance of employees engaged in the award and administration of contracts. No employee, officer or agent of the grantee shall participate in the selection, or in the award or administration of a contract supported by grant funds if a conflict of interest, real or apparent, would be involved.

5. Renumeration for contractual services is allowable to the extent that the total compensation is reasonable for the rendered services, conforms to the grantee's established policy, and is consistently applied to similar work in other activities of the grantee. In cases where the kinds of required contractual services are not found in other activities of the grantee, compensation will be considered reasonable to the extent that it is comparable to that paid for similar work in the labor market in which the employing grantee competes for the kind of services involved. Compensation surveys providing data representative of the labor market involved will be an acceptable basis for evaluating reasonableness.

#### **B. Private Non-Profit Entities**

Apply the standards described in II-A above.

**Note:** State agencies must follow the procurement procedures for goods and services developed by the Department of Administration and Finance.



**General Note Regarding Conflict of Interest**

Public employees -- including Department of Education employees, consultants, or volunteer members of a Department or Board of Education advisory council or committee -- may not participate in the review, recommendation or approval of a grant or contract proposal if they know that they personally, their immediate family, or a business or organization (including a school district) with which they are closely associated has a financial interest in the grant or contract. They are specifically prohibited from acting on matters affecting: (1) themselves; (2) their immediate family (their spouse, parents, children, brothers and sisters); (3) their partner; (4) a business organization in which they are serve as an officer, director, trustee, partner or employee; or (5) any person or organization with whom they are negotiating for or have any arrangement concerning future employment. In addition, public employees must avoid conduct that creates a reasonable impression that they will act with bias.

Failure to comply with these requirements of the conflict of interest law, G.L. c. 268A, may result in revocation of a grant or contract award by the Department of Education and may preclude the recipient from future eligibility. In case of any question about the applicability of the conflict of interest law to a particular situation, please contact the Department's Legal Office or the State Ethics Commission, 727-0060.





